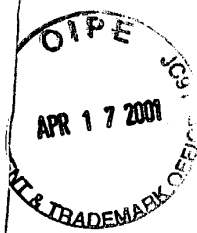


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

N SECTOR
#3



In re application of: David S. Miller

Appl. No.: 09/776,707

Confirmation No.: 5703

Filed: February 6, 2001

For: FULLY-AUTOMATED SYSTEM
FOR TAX REPORTING, PAYMENT
AND REFUND

Art Unit: 2163

Examiner: Not Yet Assigned

Atty. Docket No.: 31921-169140

Customer No.:



26694

RESPONSE TO NOTICE TO FILE MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231
BOX MISSING PARTS

Sir:

In response to the Notice to File Missing Parts of March 9, 2001, submitted herewith are the following:

- Verified Statement (Declaration) Claiming Small Entity Status – Independent Inventor
- Verified Statement (Declaration) Claiming Small Entity Status – Small Business Concern
- Copy of March 9, 2001 Notification of Missing Parts

Official fees:

Basic Filing Fee	\$ 355.00
Assignment Recording Fee	\$ 0.00
Surcharge for late submission of declaration	\$ 65.00
Excess Claim Fee	\$ 209.00

Total fees enclosed: \$ 629.00

Should no remittance be attached, or should any greater or lesser fee be required, please charge or credit our Account No. 22-0261 and advise us accordingly.

Date: April 17, 2001

Respectfully submitted,

Michael A. Sartori, Ph.D.

Registration No. 41,289

VENABLE

P.O. Box 34385

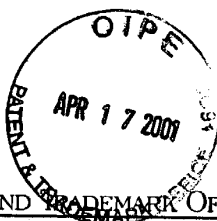
Washington, D.C. 20043-9998

Telephone: (202) 962-4800

Telefax: (202) 962-8300

Enclosures

MAS/cas
DC2DOCS # 277640



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/776,707	02/06/2001	David S. Miller	31921-169140

CONFIRMATION NO. 5703

FORMALITIES LETTER



OC000000005846222

VENABLE
Post Office Box 34385
Washington, DC 20043-9998

Date Mailed: 03/09/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$418.
 - \$18 for 1 total claims over 20.
 - \$400 for 5 independent claims over 3.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1258.

*A copy of this notice **MUST** be returned with the reply.*

Worrene Nerso

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

00000027 09776707
355.00 BP
65.00 BP
200.00 BP
9.00 BP
34/18/2001 HWDOR1
01 EC201
02 EC205
03 EC202
04 EC203

Applicant or Patentee: DAVID S. MILLER

Attorney Docket: 31921-169140

Application or Patent No.: 09/776,707

Filed or Issued: February 6, 2001

For: FULLY-AUTOMATED SYSTEM FOR TAX REPORTING, PAYMENT AND REFUND

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. §§ 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR

As the below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 C.F.R. § 1.9(c) for purposes of paying reduced fees under sections 41(a) and (b) of Title 35, United States Code, to the U.S. Patent and Trademark Office with regard to the invention entitled FULLY-AUTOMATED SYSTEM FOR TAX REPORTING, PAYMENT AND REFUND described in

- ☐ the specification filed herewith
☒ Application No. 09/776,707, filed February 6, 2001.
☐ Patent No. _____, issued _____

I have not assigned, granted, conveyed, or licensed and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 C.F.R. § 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ no such person, concern or organization
☒ persons, concerns or organizations listed below*

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. 37 C.F.R. § 1.27.

NAME SIMPLIFICATION, LLC

ADDRESS c/o David S. Miller, 100 Maiden Lane, New York, New York 10038.

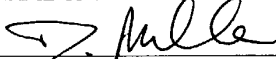
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any changes in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. § 1.28(b).

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

DAVID S. MILLER

NAME OF INVENTOR



SIGNATURE OF INVENTOR

DATE

Applicant or Patentee: DAVID S. MILLER Attorney Docket: 31921-169140
Application or Patent No.: 09/776,707
Filed or Issued: February 6, 2001
For: FULLY-AUTOMATED SYSTEM FOR TAX REPORTING, PAYMENT AND REFUND

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. §§ 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am FI
☐ the owner of the small business concern identified below;
☒ an official of the small business concern empowered to act on behalf of the concern identified below:
NAME OF CONCERN: SIMPLICATION, LLC
ADDRESS OF CONCERN: c/o David S. Miller, 100 Maiden Lane, New York, New York 10038

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 12 C.F.R. §§ 121.3-18, and reproduced in 37 C.F.R. § 1.9(d), for purposes of paying reduced fees under sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other, either directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled FULLY-AUTOMATED SYSTEM FOR TAX REPORTING, PAYMENT AND REFUND by inventor David S. Miller described in


☐ the specification filed herewith;
☒ Application No. 09/776,707, filed February 6, 2001;
☐ Patent No. _____, issued _____.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. § 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e). *NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. § 1.27.

NAME N/A
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. § 1.28(b).

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

SIGNATURE  DATE 3/22/01
NAME OF PERSON SIGNING: David S. Miller
TITLE OF PERSON OTHER THAN OWNER: Manager
ADDRESS OF PERSON SIGNING: 100 Maiden Lane, New York, New York 10038